DOCUMENT RESUME

ED 446 775 IR 057 920

TITLE	New York State Forum for Information Resource Management: 1999-2000 Annual Report.
INSTITUTION	New York State Forum for Information Resource Management.
PUB DATE	2000-00-00
NOTE	27p.; For the 1998-99 report, see ED 437 951.
PUB TYPE	Reports - Descriptive (141)
EDRS PRICE	EDRS Price MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	*Agency Cooperation; Annual Reports; Cooperative Programs; Educational Technology; *Information Management; *Information Policy; Information Scientists; *Information Technology; Institutional Cooperation; Nonprofit Organizations; *Policy Formation; Program Descriptions; *State Government; Statewide Planning
IDENTIFIERS	Electronic Commerce

ABSTRACT

This annual report of the New York State Forum for Information Resource Management begins with a section that summarizes key activities for 1999-2000, including partnerships with other organizations, efforts to promote effective technology workforce planning in New York State government, tracking information management developments related to welfare reform, research on the challenges of information privacy in a networked world, publication of the white paper "E-Commerce for New York: Challenges and Opportunities for Government and Community," and strengthening the cooperative network among the various professional organizations and individuals involved in state and local government. The second section describes the following projects and activities planned for 2000-01: (1) new technologies for targeted education, including Web-enabling government, security/vulnerability, project management, staff retention, and new technologies; (2) focus on information policy, including procurement, workforce planning, opportunities for collaboration and coordination, standards development, and improving the business of government; and (3) strengthening knowledge networks. Lists of constituent agencies and executive committee members are included. (MES)

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New York State Forum for Information Resource Management

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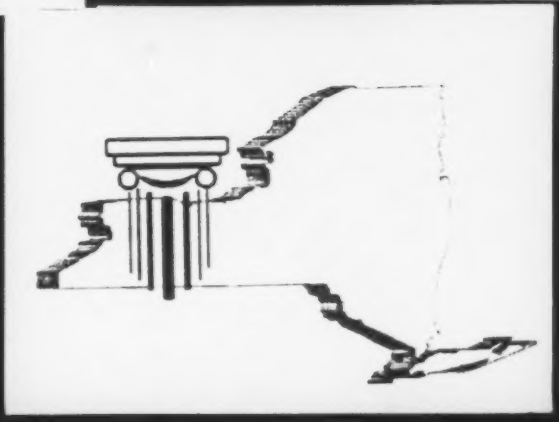

1999 - 2000 Annual Report

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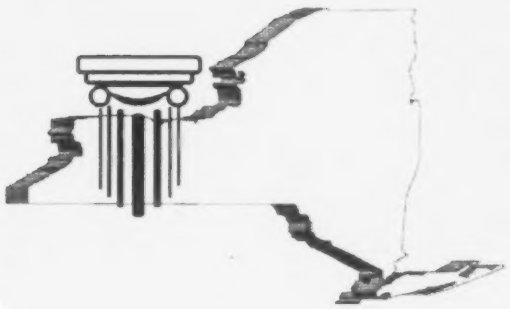

Innovations in information resource management
to support government

October, 2000

Dear Members, Colleagues and Friends:

It is hard for me to grasp the fact that our Forum's 1999-2000 year has passed so quickly by. It seems so short a time ago that all of us were looking toward the turn of the millennium with a convoluted mixture of dread, anticipation, excitement, and wonder. Yes, that was the start of our Forum year just last October, and the Y2K countdown still had three months to run. For all of the hype of those last years of the nineties, it now seems all but forgotten. Fortunately you, our members, made a difference by successfully completing the IT tasks necessary to make the transition so remarkably problem free.

The new year has brought new directions and new challenges. The pent up demand for addressing upgrades to existing services and for starting new government initiatives has burst its walls and threatens to overwhelm our IT departments. This is occurring in an environment where now, more than ever, we are struggling under the IT staffing and recruitment problems of our current economy. Will we be able to swim in the torrent?

The Forum strives to provide you with the life preserver to help keep you afloat. It works to provide timely education, venues for networking, new policy recommendations, and research and papers that will benefit us all. This past year, the Forum was successful in providing all of those things by tapping the skills, knowledge and energy of you our members, as participators, Executive Committee members, Forum staff, and Officers. I, therefore, want to thank all of you for that participation and work, which has helped government IT to make a difference for all of our constituents and customers. Despite the challenges facing us all in the upcoming years, I urge you to keep participating and working through the Forum to harness the power of IT to the needs of government.

Sincerely,

Alex Roberts

Alex Roberts
Chair, 1999-2000

What is the Forum?

In the 13 years since the formation of the The New York State Forum for Information Resource Management (the Forum) in 1987, a great deal has changed in the world of government information management in New York State. Information management has moved from a "back room" function of many state and local agencies to an activity critical to their operation, health and potential for growth and change. At least 5 generations of computer hardware and software have come and gone, culminating in the explosive rise of the World Wide Web as an extraordinary vehicle for transforming the way we work and live. Important policy issues, like the relations between state and local government, information privacy, information security, citizen access to information, and the sale of government information have all risen to the forefront of national, state, and local debates about how our society should function.

Through all these changes, the Forum has acted as a leader, sounding board, and rallying point for people committed to the effective and appropriate use of information in government. As a nonprofit membership organization operating under the charter of the Research Foundation of the State University of New York and housed at the Rockefeller Institute of Government, we have sought to help state and local governments make better use of their critical information assets.

Many observers have expressed the idea that information is the business of government. It is appropriate, therefore, that the mission of the Forum be to promote policies and practices for effective use and management of information resources in New York state and local government organizations.

1999 - 2000 Promoting Cooperation and Synergy

The Forum's activities focus on our three traditional roles in New York State's governmental community: information management and technology education; research; and professional networking. To make the best use of our resources and encourage coordination throughout the government community, our activities have always involved partnerships with both public and private entities. The following summary of key activities underscores the importance of this work.

Education Focused on the Future

In 1999-2000, the Forum continued its long-standing partnership with the Center for Technology in Government (CTG). This year, we helped manage three CTG sessions highlighting the use of information in government. These programs focused on building integrated data repositories, exploring the rules that govern the use of information in the public sector, and exploring the tools and skill sets available to better organize information use.

The state Office for Technology (OFT) is the key executive branch organization responsible for information policy in New York State. We have continued our close partnership with OFT by

cosponsoring the 3rd Annual Information Security Day, a day-long session on information security that included speakers from more than 30 private and public organizations. We also cohosted the first e-Commerce day in the state, which attracted nearly 1,000 people to hear a series of speakers discuss the future of e-Commerce and e-Government in state and local government.

The Forum also regularly partners with the private sector to provide free educational programs on information issues to government employees. This year, we worked with Millenia III to present a session on government technology enterprise management, and cosponsored a session on distance education with Integrated Partners, Inc. We also provided executive level training on the potential impact of the Health Insurance Portability and Accountability Act (HIPPA), federal legislation with a potentially huge impact on state and local health care management. This session was cohosted by the Gartner Group, Keane Incorporated Healthcare Practice, and Whiteman Osterman and Hanna.

Shedding Light on the Information Environment

In 1999-2000, the Forum continued its long term work to promote effective technology workforce planning in New York State government. Our participation in efforts to develop government project management expertise and more effective use of

training resources was a direct outgrowth of our previous workforce planning white papers and proposals for changes to IT workforce planning and management. These activities have been undertaken in cooperation with the Interdepartmental Committee on Electronic Data Processing (ICEDP).

On the welfare reform front, Forum staff have been actively involved in tracking information management developments related to welfare reform as part of a 21 state study being carried out by the Rockefeller Institute with funding from the Kellogg Foundation. This activity has included a partnership with the federal General Accounting Office and has focused on researching the evolution of welfare information systems to support welfare reform. A product of this effort was a white paper entitled *Information Federalism: A History of Welfare Information Systems.*

The Forum and the Rockefeller Institute are also conducting research on the impact of welfare reform in conjunction with the state Office of Temporary and Disability Assistance and the New York State Department of Labor, which, in 1999, saw our first written product entitled *After Welfare: A Study of Work and Benefit Use after Case Closing*. Several more products are expected during the coming year.

In 1999, the Forum began an extensive program of research on the challenges of information privacy in a networked world. The first two white papers in this series, focusing of information privacy in the health care arena and the protection of minors online, have been published. A third paper in the series, emphasizing the international dimension of information

privacy has been completed. The final report will cover information privacy issues in the field of public safety.

Finally, the Forum Standing Committees on Electronic Commerce and Local Government have generated both broad participation and substantial products in 1999-2000. During the year, the e-Commerce Standing Committee published the white paper *E-Commerce for New York: Challenges and Opportunities for Government and Community*, which helped frame a statewide response to the challenges of e-commerce in government. The Local Government Standing Committee met twice and outlined areas where further cooperative action is required between state and local government information managers. In addition, a work group focusing on cost accounting in government drafted recommendations to change how information projects are monitored for performance. Some of these ideas have been incorporated in procedures for New York State's entrepreneurial fund evaluation and monitoring.

Strengthening the Cooperative Network

Finally, the Forum continued its long tradition of providing a vehicle for networking among the various professional organizations and individuals involved in state and local government. This was accomplished through a variety of actions, including publication of the monthly *Open Forum* newsletter, continued development of the Forum's web site functions,

participation in the planning for the Government Technology Conference, the addition of listserv and mass e-mailing capacity, and information presentations at e-Commerce meetings. We also continued our efforts to highlight effective information management in the state, by hosting a Best Practices Award program and giving out the annual Award for Excellence in Government Information Services.

The Network SIG/Webmasters Guild, cosponsored by the Forum and ICEDP, hosted six presentations, ran the state's web banner contest, and assisted in the development of the first phase of the state's "life events" site. In addition, Forum staff and members served on a variety of state work groups, including OFT security, electronic signatures, web portal, and IT Academy projects. Staff also served on CTG's Electronic Records project advisory group, and as faculty at the University at Albany's School of Information Science and Policy.

2000 - 2001 Continuing the Leadership Tradition

Each July, Forum Executive Committee and agency members meet at the Rockefeller Institute to review the past year's programs and set strategic directions for the coming year.

This annual event, which includes a review of the past year's accomplishments, an analysis of member responses to the annual member's survey, and a look forward to the challenges of information resource management in the coming years, has always generated lively and thoughtful discussion. This year, as in previous sessions, the program also provided a clear sense of where the Forum's directions should be strengthened, modified, or changed to meet the shifting demands of state information resource management. Following are highlights of the projects and activities we expect to undertake during the coming months with our members and partners.

New Technologies for Targeted Education

Three major areas for education work are slated for the coming year, including a focus on particular topic areas, a revision of the structure and tools under which

education is carried out, and a focus on a topic of importance to government employees where core background education is needed.

The five education topic target areas are:

- **Web-enabling Government:** best practices and issues related to web site content management, re-engineering of processes in light of e-Government, and managing the transition from legacy silos to integrated e-Commerce.

- **Security/Vulnerability:** the relationship between access, privacy and security; technical vulnerability testing and prevention; and methods for management of vulnerability analysis and assessment.

- **Project Management:** general project management training and contractor management.

- **Staff Retention:** best practices in IT staff retention and effective burnout prevention and support for people in "nonglamorous" jobs.

- **New Technologies:** e-Commerce/GIS integration and knowledge management.

In addition, the Forum will work to develop new ways of providing education. These include working more closely with local higher education facilities to tap academic expertise and providing a means for attracting young professionals into government through internships and fellowship programs.

The productivity of user support groups can be increased, while better sharing the workload among participants and integrating the work of standing committees (which tend to deal with issues at a higher level focusing on policy and management) with special interest groups that focus on more technical aspects of information management.

Strong linkages with other organizations in other states and at the national level should be maintained and strengthened, and mechanisms for sharing policies, information, application components, and other knowledge across state and local agencies in New York State should be developed. Tools to support all these efforts include an enhanced website with more functions, and audio and videoconferencing.

The key emerging topic for basic education is a "fusing" of technology with broader policy and management issues. This trend is becoming critical as we move to integrated e-Government. While private sector organizations are concerned about integration to the degree it supports profit, public sector organizations must deal with a different calculus in the development of integrated e-Government. Successful technology integration involves achieving a delicate balance between individual privacy, the rights of citizens to gain access to government information, and the necessity to provide adequate security in order to maintain government's information stewardship role.

Related issues include the financing of e-Government initiatives, the need to close the "digital divide" among population groups, and highlighting the new relationship between organization executives,

program and technology staff, and state, local and nonprofit entities.

A Focus on Information Policy

We are particularly concerned that the Forum extend its role in providing information to government decision makers through a process that includes the development of an education and marketing plan prior to release of research papers, the involvement of key decision makers in white paper development, and the designation of spokespeople/educators in each agency to disseminate the results of research papers.

Particular focus areas include:

- **Procurement:** analyze the inhibitors to good procurement and examine process and technical solutions to overcome barriers to effective IT procurement.

- **Workforce Planning:** analysis, action plans and short- and long-term deliverables in the area of workforce planning. This should include the development of a five year state and local IT workforce forecast, including recommendations for staffing levels, recruitment, core knowledge needed by all IT staff, and the specialized resources needed for e-Commerce. Related analyses should include best practices for utilizing retirees on a contract basis, state/local telecommuting policy development, and an analysis of the cost of outsourcing vs. in-house

development of staff. An executive education program should be an integral part of this activity.

- **Opportunities for Collaboration and Coordination:** Forum members should work to identify areas where improved collaboration and coordination is possible, in order to promote New York State as an intergovernmental enterprise. This could include identification of areas for natural collaboration (e.g. human services) and areas where smaller organizations can band together in joint initiatives. It should highlight the role IT plays as a critical enabler for emerging programs and policies with an intergovernmental enterprise-wide focus.

- **Standards Development:** in order to foster better opportunities for collaboration and coordination, the policy work group strongly suggested the development of information architecture standards that cross state, local, and nonprofit boundaries. These should be modeled on collaborative structures such as those used in Internet-related standards development. Areas for immediate emphasis should include interoperability for data sharing; standards for privacy, accessibility and security; and data authentication standards. In addition, a long term strategy is needed to support enterprise-wide software packages, and telecommunication convergence should be closely monitored.

- **Improving the Business of Government:** several related areas for policy work include the

development of a relevant risk model for information security in the public sector, structures to improve the fusing of IT with the business organization in agencies, and identification and promotion of the top five e-Commerce applications in state and local government.

Forum staff and executives will meet with relevant partners to outline tasks for coordination in the policy arena.

Strengthening Knowledge Networks

The Forum will redouble its efforts to promote professional networking, by increasing the priority given this area and updating our methods to make the best use of today's technology.

New or improved methods for networking should include the development of web-based networking communities through the provision of mechanisms to support professional networking in hardware, software and functional areas, as well as the collection of agency profiles and contact information in these categories. In addition, the development of a training clearinghouse, information on development methodologies used by different agencies, and the sharing of application solutions are all ways by which communities can be built and maintained.

It is also important to build stronger relationships with New York's colleges and universities. Among

efforts to be undertaken would be a program to expose graduating students to hiring possibilities available in state and local governments, and a fellowship program to link academic study with real-world government experience.

In addition, the strengthening of outreach and education efforts with public stakeholders like the state legislature (particularly legislative staff), the Division of Budget, agency executives, national organizations and the federal government, and representatives of local governments in New York State is critical. Work with private vendors should include cosponsorship (with the Office of General Services and the Office of the State Comptroller) of programs with IT vendors to foster a candid discussion about project successes and failures, and how relations can be improved in the future. The group also recommended that the e-Commerce Standing Committee develop an e-Commerce business advisory group to act as a private vendor sounding board for the state's e-Commerce efforts.

Membership and Organization

To carry out all these activities, the Forum relies heavily on the expertise and commitment of our membership. Our active agencies and individuals represent the foundation of the organization's structure, and its strength in meeting the myriad challenges of information resource management.

In 1999-2000, the organization included 1,973 individual members from among state agencies, local governments, and nonprofit organizations. The organization is led by a 23 member Executive Committee consisting of 14 elected and 9 *ex officio* members representing key information management and control agencies. The Forum is supported by three full time staff and an annual budget of $250,000.

Membership

As a membership organization, the Forum is especially proud of the commitment of its organizational and individual members who committed resources and countless volunteer hours to support the organization's activities.

The following lists the Forum's constituent agencies with the number of individual members enrolled from each organization.

Agency Members

Adirondack Park Agency	3
Advocate for Persons with Disabilities	4
*Agriculture & Markets	11
*Assembly	22
Board of Elections	5
Board of Law Examiners	1
Capital Defender's Office	1
Commission on Cable Television	1
Commission on Investigation	2
Commission on Judicial Conduct	1
*Commission on Quality of Care	5
Commission on Science & Technology	1
*Consumer Protection Board	3
Council on Children & Families	2
Council on the Arts	2
Court of Appeals	1
Crime Victims Board	5
*Department of Civil Service	51
Department of Correctional Services	21
*Department of Environmental Conservation	44

Department of Health 82
Department of Labor 58
Department of Law 21
*Department of Motor Vehicles 47
*Department of State 38
*Department of Taxation & Finance 113
*Department of Transportation 70
Developmental Disabilities Planning Council 1
*Division of Budget 18
*Division of Criminal Justice Services 53
*Division of Housing & Community Renewal 68
Division of Human Rights 7
Division of Military & Naval Affairs 20
Division of Parole 6
Division of Veterans' Affairs 2
*Dormitory Authority 14
*Empire State Development 14
Energy Research & Development Authority 1
Environmental Facilities Corp. 2
Ethics Commission 1
Executive Chamber 4
*Governor's Office of Employee Relations 16
Governor's Office of Regulatory Reform 2
Governor's Traffic Safety Commission 1
*Higher Education Services Corporation 27
*Insurance Department 19
Jacob K. Javits Convention Center 1
Lake George Park Commission 1
Legislative Bill Drafting Commission 2
Legislative Commission on Public Mgmt. Systems 1
Legislative Commission on Rural Resources 1
Legislative Commission on Solid Waste Mgmt. 1
Legislative Commission on State/Local Relations 1
Metropolitan Transit Authority 1
Metropolitan Transportation Council 1
Office for Technology 31
*Office for the Aging 21
Office for the Prevention of Domestic Violence 1

*Office of Alchoholism & Substance Abuse Services 37
*Office of Children & Family Services 20
*Office of Court Administration 14
*Office of General Services 54
*Office of Mental Health 54
*Office of Mental Retardation & Developmental Disabilities 43
Office of Parks, Recreation & Historic Preservation 5
*Office of Real Property Services 29
Office of Temporary & Disability Assistance 66
Office of the Attorney General 7
Office of the Inspector General 1
Office of the Special Prosecutor for Medicaid Fraud 1
*Office of the State Comptroller 113
- State & Local Retirement System 10
Port Authority of New York & New Jersey 4
Public Employee Relations Board 2
Public Service Commission 21
*Racing & Wagering Board 4
*Senate 22
*State Education Department 113
State Emergency Management Office 2
State Insurance Fund 9
State Liquor Authority 3
State Lottery 14
*State Police 10
State University of New York 114
Albany 36
Brooklyn 1
Buffalo 2
College of Optometry 1
Empire State College 1
Farmingdale 1
Oswego 1
Plattsburgh 1
Stony Brook 7
Syracuse 3
Utica 2

Center for Legislative Dev. 1
*Center for Technology in Gov. 22
Center for Women in Government 1
Construction Fund 2
Research Foundation 9
System Administration 23
*Teachers' Retirement System 13
Temporary State Commission on Lobbying 3
Thruway Authority 24
Treatment Alternatives to Street Crimes 1
Tug Hill Commission 1
US Postal Service 1
*Workers' Compensation Board 14

Affiliate Members

Albert R. Mann Library, Cornell University 1
Association of Towns 1
City of Albany 1
City of Elmira 1
City of Niagara Falls 1
City of Rye 1
City of Troy 1
City of Utica 1
City of Yonkers 1
Conference of Local Mental Hygiene Directors 7
New York City 15
Dept. of Environmental Protection 1
*DoITT 11
Dept. of Investigation 1
Office of Technology 1
Public Advocate 1
*New York State/Local Government IT Directors Association 146
Albany County 6
Allegany County 2

Broome County 3
Cattaraugus County 4
Cayuga County 3
Chautauqua County 3
Chemung County 2
Chenango County 2
Clinton County 2
Columbia County 2
Cortland County 2
Delaware County 2
Dutchess County 2
Erie County 8
Essex County 2
Franklin County 2
Fulton County 3
Genesee County 2
Greene County 3
Hamilton County 1
Jefferson County 2
Lewis County 1
Livingston County 2
Madison County 4
Monroe County 3
Montgomery County 2
Nassau County 4
Niagara County 2
Oneida County 2
Onondaga County 2
Ontario County 2
Orange County 1
Orleans County 2
Oswego County 2
Otsego County 2
Putnam County 1
Rensselaer County 2
Rockland County 2
Saratoga County 3
Schenectady County 3

Schoharie County 6
Schuyler County 1
Seneca County 2
St. Lawrence County 3
Steuben County 2
Suffolk County 4
Sullivan County 3
Tioga County 2
Tompkins County 2
Ulster County 6
Warren County 1
Washington County 1
Wayne County 3
Westchester County 5
Wyoming County 2
Yates County 3

New York State Magistrates Assoc. 1
New York State Tax Receivers & Collectors Assoc. 1
Parsons Child & Family Center 1
Schenendehowa Central School 1
Sheriff's Association Institute 1
State Communities Aid Association 1
State of New Jersey, Department of Treasury 1
Town of Liberty 1
Town of Poestenkill 1
University at Baltimore 1
University at Michigan 1
Village of Hemstead 1
Village of Scarsdale 1

Total Membership 1,973

*Dues paying agencies as of August, 2000

1999 - 2000 Executive Committee

Officers

Chair, Alexander Roberts, *DCJS*
Vice Chair, Robert G. Kelly, *DHCR*
Secretary/Treasurer, Gail Croteau, *OMRDD*

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Kevin Belden, *Dept. of Taxation & Finance*
Ronald Cooke, *State Police*
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F. Michael Donovan, *DOT*
Paul Fisk, *DOB*
Stanley France, *Schoharie County*
Robert Freeman, *Dept. of State*
Roman Hedges, *NYS Assembly*
Geoffrey A. Huth, *SED*
Norman J. Jacknis, *Westchester County*
Paul Maguire, *OASAS*
Brian G. Maybee, *OSC*
Richard J. Melita, *SED*
Michael Mittleman, *OMH*
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Paula Moskowitz, *OGS*
Eugene Pezdek, *DEC*
Peter L. Poleto, *OFT*
Thomas Ruller, *SED*
Brian Scott, *DOH*
Paul Shatsoff, *GOER*
David Walsh, *NYS Senate*
[illegible]h Walters, *OSC*

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Christopher P. Latimer, *Sr. Research Analyst*
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